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PTO/SB/01 (10-00)
Approved for use through 10/31/2002 OMB 0651-0032
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DECLARATION FOR UTILITY OR DESIGN PATENT APPLICATION (37 CFR 1.63) <input checked="" type="checkbox"/> Declaration Submitted with Initial Filing OR <input type="checkbox"/> Declaration Submitted after Initial Filing (surcharge (37 CFR 1.16 (e)) required)	Attorney Docket Number	OC0101US
	First Named Inventor	Hichwa
	COMPLETE IF KNOWN	
	Application Number	/
	Filing Date	
	Group Art Unit	
	Examiner Name	

As a below named inventor, I hereby declare that:

My residence, mailing address, and citizenship are as stated below next to my name.

I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled:

OPTICAL CROSS-CONNECT WITH MAGNETIC MICRO-ELECTRO-MECHANICAL ACTUATOR CELLS

(Title of the Invention)

the specification of which

☒ is attached hereto

OR

☐ was filed on (MM/DD/YYYY)

as United States Application Number or PCT International

Application Number

and was amended on (MM/DD/YYYY)

(if applicable).

I hereby state that I have reviewed and understand the contents of the above identified specification, including the claims, as amended by any amendment specifically referred to above.

I acknowledge the duty to disclose information which is material to patentability as defined in 37 CFR 1.56, including for continuation-in-part applications, material information which became available between the filing date of the prior application and the national or PCT international filing date of the continuation-in-part application.

I hereby claim foreign priority benefits under 35 U.S.C. 119(a)-(d) or 365(b) of any foreign application(s) for patent or inventor's certificate, or 365(a) of any PCT international application which designated at least one country other than the United States of America, listed below and have also identified below, by checking the box, any foreign application for patent or inventor's certificate, or any PCT international application having a filing date before that of the application on which priority is claimed.

Prior Foreign Application Number(s)	Country	Foreign Filing Date (MM/DD/YYYY)	Priority Not Claimed	Certified Copy Attached?	
			<input type="checkbox"/>	YES	NO
			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

☐ Additional foreign application numbers are listed on a supplemental priority data sheet PTO/SB/02B attached hereto:

I hereby claim the benefit under 35 U.S.C. 119(e) of any United States provisional application(s) listed below.

Application Number(s)	Filing Date (MM/DD/YYYY)	<input type="checkbox"/> Additional provisional application numbers are listed on a supplemental priority data sheet PTO/SB/02B attached hereto.

[Page 1 of 2]

Burden Hour Statement: This form is estimated to take 21 minutes to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231 DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

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DECLARATION — Utility or Design Patent Application

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Name

Address

Address

City

State

ZIP

Country

Telephone

Fax

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under 18 U.S.C. 1001 and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

NAME OF SOLE OR FIRST INVENTOR :

☐ A petition has been filed for this unsigned inventor

Given Name
(first and middle [if any]) Bryant P.

Family Name
or Surname Hichwa

Inventor's
Signature

Bryant P Hichwa

09 Jan 2001
Date

Residence: City Santa Rosa

State CA

Country USA

Citizenship US

Mailing Address 4100 Pressley Road

Mailing Address

City Santa Rosa

State CA

ZIP 95404

Country US

NAME OF SECOND INVENTOR:

☐ A petition has been filed for this unsigned inventor

Given Name
(first and middle [if any]) John S.

Family Name
or Surname Foster

Inventor's
Signature

Date

Residence: City Santa Barbara

State CA

Country USA

Citizenship US

Mailing Address 4678 Via Huerto

Mailing Address

City Santa Barbara

State CA

ZIP 93110

Country USA

☒ Additional inventors are being named on the 2 supplemental Additional Inventor(s) sheet(s) PTO/SB/02A attached hereto.

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DECLARATION

ADDITIONAL INVENTOR(S)
Supplemental Sheet
Page 1 of 2

Name of Additional Joint Inventor, if any:		<input type="checkbox"/> A petition has been filed for this unsigned inventor	
Given Name (first and middle [if any])		Family Name or Surname	
Richard T.		Martin	
Inventor's Signature		Date	
Residence: City	Goleta	State	CA
Country	USA	Citizenship	US
Mailing Address 5629 Berkeley Road			
Mailing Address			
City	Goleta	State	CA
ZIP	93117	Country	USA
Name of Additional Joint Inventor, if any:		<input type="checkbox"/> A petition has been filed for this unsigned inventor	
Given Name (first and middle [if any])		Family Name or Surname	
Paul J.		Rubel	
Inventor's Signature		Date	
Residence: City	Santa Barbara	State	CA
Country	USA	Citizenship	US
Mailing Address 527 La Marina Drive			
Mailing Address			
City	Santa Barbara	State	CA
ZIP	93109	Country	USA
Name of Additional Joint Inventor, if any:		<input type="checkbox"/> A petition has been filed for this unsigned inventor	
Given Name (first and middle [if any])		Family Name or Surname	
John W.		Stocker	
Inventor's Signature		Date	
Residence: City	Carpenteria	State	CA
Country	USA	Citizenship	US
Mailing Address 185 Ocean View Avenue			
Mailing Address			
City	Carpenteria	State	CA
ZIP	93105	Country	USA

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Supplemental Sheet
Page 2 of 2

Name of Additional Joint Inventor, if any:		<input type="checkbox"/> A petition has been filed for this unsigned inventor	
Given Name (first and middle [if any])		Family Name or Surname	
Jeffery F.		Summers	
Inventor's Signature		Date	
Residence: City	Santa Barbara	State	CA
Country	USA	Citizenship	US
Mailing Address 1416 Clear View Road			
Mailing Address			
City	Santa Barbara	State	CA
ZIP	93101	Country	USA
Name of Additional Joint Inventor, if any:		<input type="checkbox"/> A petition has been filed for this unsigned inventor	
Given Name (first and middle [if any])		Family Name or Surname	
Inventor's Signature		Date	
Residence: City		State	
Country		Citizenship	
Mailing Address			
Mailing Address			
City		State	
ZIP		Country	
Name of Additional Joint Inventor, if any:		<input type="checkbox"/> A petition has been filed for this unsigned inventor	
Given Name (first and middle [if any])		Family Name or Surname	
Inventor's Signature		Date	
Residence: City		State	
Country		Citizenship	
Mailing Address			
Mailing Address			
City		State	
ZIP		Country	

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Prior Foreign Application Number(s)	Country	Foreign Filing Date (MM/DD/YYYY)	Priority Not Claimed	Certified Copy Attached?	
				YES	NO
			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

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[Page 1 of 2]

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Name

Address

Address

City

State

ZIP

Country

Telephone

Fax

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under 18 U.S.C. 1001 and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

NAME OF SOLE OR FIRST INVENTOR :☐ A petition has been filed for this unsigned inventor

Given Name

Bryant P.

Family Name

Hichwa

(first and middle (if any))

or Surname

Inventor's
Signature

Date

Residence: City

Santa Rosa

State CA

Country USA

Citizenship US

Mailing Address 4100 Pressley Road

Mailing Address

City Santa Rosa

State CA

ZIP 95404

Country US

NAME OF SECOND INVENTOR:☐ A petition has been filed for this unsigned inventor

Given Name

John S.

Family Name

Foster

(first and middle (if any))

or Surname

Inventor's
Signature

Date

1/11/01

Residence: City

Santa Barbara

State CA

Country USA

Citizenship US

Mailing Address 4678 Via Huerto

Mailing Address

City Santa Barbara

State CA

ZIP 93110

Country USA

☒ Additional inventors are being named on the 2 supplemental Additional Inventor(s) sheet(s) PTO/SB/02A attached hereto.

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01/17/2001 10:57 8056813803JFOSTER
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PTO/BB02A (11-00)

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U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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DECLARATION

ADDITIONAL INVENTOR(S)
Supplemental Sheet
Page 1 of 2

Name of Additional Joint Inventor, if any:		<input type="checkbox"/> A petition has been filed for this unsigned inventor	
Given Name (first and middle if any)		Family Name or Surname	
Richard T.		Martin	
Inventor's Signature <i>Richard T. Martin</i>		Date 11 Jan 2001	
Residence: City	Goleta	State	CA
Country	USA	Citizenship	US
Mailing Address 5629 Berkeley Road			
Mailing Address			
City	Goleta	State	CA
ZIP	93117	Country	USA
Name of Additional Joint Inventor, if any:		<input type="checkbox"/> A petition has been filed for this unsigned inventor	
Given Name (first and middle if any)		Family Name or Surname	
Paul J.		Rubel	
Inventor's Signature <i>P. J. Rubel</i>		Date Jan 11, 2001	
Residence: City	Santa Barbara	State	CA
Country	USA	Citizenship	US
Mailing Address 527 La Marina Drive			
Mailing Address			
City	Santa Barbara	State	CA
ZIP	93109	Country	USA
Name of Additional Joint Inventor, if any:		<input type="checkbox"/> A petition has been filed for this unsigned inventor	
Given Name (first and middle if any)		Family Name or Surname	
John W.		Stocker	
Inventor's Signature <i>John W. Stocker</i>		Date 1/17/00	
Residence: City	Santa Barbara	State	CA
Country	USA	Citizenship	US
Mailing Address 780 Ocean View Avenue 211 Bath			
Mailing Address			
City	Santa Barbara	State	CA
ZIP	93101	Country	USA

Swearing Under Oath: This form is estimated to take 21 minutes to complete. Your will vary depending upon the needs of the individual case. Any comments on the content of this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20531. DO NOT SEND FEE OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20531.

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DECLARATION**ADDITIONAL INVENTOR(S)**
Supplemental Sheet
Page 2 of 2

Name of Additional Joint Inventor, if any:		<input type="checkbox"/> A petition has been filed for this unsigned inventor	
Given Name (first and middle (if any))		Family Name or Surname	
Jeffery F.		Summers	
Inventor's Signature <i>Jeffery F. Summers</i>		Date <i>JAN 11, 2001</i>	
Residence: City	Santa Barbara	State	CA
		Country	USA
		Citizenship	US
Mailing Address 1416 Clear View Road			
Mailing Address			
City	Santa Barbara	State	CA
		ZIP	93101
		Country	USA
Name of Additional Joint Inventor, if any:		<input type="checkbox"/> A petition has been filed for this unsigned inventor	
Given Name (first and middle (if any))		Family Name or Surname	
Inventor's Signature		Date	
Residence: City		State	
		Country	
		Citizenship	
Mailing Address			
Mailing Address			
City		State	
		ZIP	
		Country	
Name of Additional Joint Inventor, if any:		<input type="checkbox"/> A petition has been filed for this unsigned inventor	
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Mailing Address			
Mailing Address			
City		State	
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STATEMENT UNDER 37 CFR 3.73(b)Applicant/Patent Owner: Hichwa et al.Application No./Patent No.: unassigned Filed/Issue Date: herewithEntitled: OPTICAL CROSS-CONNECT WITH MAGNETIC MICRO-ELECTRO-MECHANICAL ACTUATORSOptical Coating Laboratory, Inc., a corporation

(Name of Assignee)

(Type of Assignee, e.g., corporation, partnership, university, government agency, etc.)

states that it is:

1. ☒ the assignee of the entire right, title, and interest; or (Equal, undivided interest with Applied Magnetics Corporation, dba Innovative Micro Technology)
2. ☐ an assignee of less than the entire right, title and interest.
The extent (by, percentage) of its ownership interest is _____ %

in the patent application/patent identified above by virtue of either:

- A. ☒ An assignment from the inventor(s) of the patent application/patent identified above. The assignment was recorded in the United States Patent and Trademark Office at Reel _____, Frame _____, or for which a copy thereof is attached.

OR

- B. ☐ A chain of title from the inventor(s), of the patent application/patent identified above, to the current assignee as shown below:

1. From: _____ To: _____

The document was recorded in the United States Patent and Trademark Office at
Reel _____, Frame _____, or for which a copy thereof is attached.

2. From: _____ To: _____

The document was recorded in the United States Patent and Trademark Office at
Reel _____, Frame _____, or for which a copy thereof is attached.

3. From: _____ To: _____

The document was recorded in the United States Patent and Trademark Office at
Reel _____, Frame _____, or for which a copy thereof is attached.☐ Additional documents in the chain of title are listed on a supplemental sheet.

- ☐ Copies of assignments or other documents in the chain of title are attached.

[NOTE: A separate copy (i.e., the original assignment document or a true copy of the original document) must be submitted to Assignment Division in accordance with 37 CFR Part 3, if the assignment is to be recorded in the records of the USPTO. See MPEP 302.08]

The undersigned (whose title is supplied below) is authorized to act on behalf of the assignee.

Jan. 17, 2001
Date

Scott W. Hewett

Typed or printed name

Scott W. Hewett
Signature 12/24/96

Attorney for Optical Coating Laboratory, Inc.

Title